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ABSTRACT

Over 8,000 miles of travel and over 60 hours of interview time with various library staff members at 18 United States academic libraries were involved in this study of gift and exchange functions, their organization, and accomplishment. The libraries were selected on the basis of having a collection of at least 500,000 volumes and representing a wide geographical distribution. This study focuses on the extent to which material can be acquired through gift and exchange arrangements, describes the relevance of such material to academic research collections, and discusses the advantages and disadvantages of using gifts and exchanges as a means of acquisition. Sections review the historical setting, gift and exchange policies, functions, the organization of gift and exchange work, gift and exchange staffing, specific considerations, and statistical and budgetary considerations. The libraries visited and the people interviewed are listed in an appendix, and an extensive bibliography is provided. (Author/JD)

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THE ORGANIZATION AND FUNCTION OF GIFT AND EXCHANGE PROGRAMS IN EIGHTEEN SELECTED U.S. ACADEMIC LIBRARIES

by

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1977-78 Fellowship Study
Council on Library Resources
Washington, D.C.

September 1978

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The Organization and Function of Gift and Exchange Programs in Eighteen Selected U.S. Academic Libraries

Abstract

A review of the literature indicates that this is the first in-depth study of gifts and exchanges in U.S. academic libraries in almost thirty years. Supported by a fellowship from the Council on Library Resources, Washington, D.C., the study was conducted during July-December 1977, and involved over sixty hours of interview time with forty-eight people at eighteen selected U.S. academic libraries. The libraries visited for the study represent a wide geographical distribution and range in collection size from just under a million volumes to well over six million volumes. In addition to gathering factual information, and attempt was made to obtain personal opinions on the value of gift and exchange programs. For this reason, interviews were conducted not only with those directly involved in gift and exchange work but also with various other library staff, including acquisitions librarians, collection development librarians, technical services librarians, subject specialists and special collection librarians. By actually visiting libraries, instead of sending out questionnaires, it was possible to learn first-hand how gift and exchange programs function. The study examines policies and procedures relating to gifts and exchanges and investigates the organization and staffing of gift and exchange activities. Various recommendations are made which suggest that gift and exchange programs can be a cost-effective means of acquiring valuable research material for U.S. academic library collections.

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I. Introduction

The purpose of this study is to identify gift and exchange functions and to learn how these functions are organized and accomplished at various academic libraries in the United States. Specifically, the objective is to learn to what extent material can be acquired through gift and exchange arrangements, the relevance of such material to academic research collections, and the advantages and disadvantages of using gifts and exchanges as a means of acquisition.

There has been a marked increase in the number of published articles dealing with gifts and/or exchanges in the last ten years. Some of these have dealt with the gift and exchange work being done at specific libraries but have generally dealt with particular aspects of gift and exchange work - especially international exchanges, many of which have appeared in the UNESCO Bulletin for Libraries.

To date, there have been only two investigations into the organization and functions of gift and exchange work in U. S. academic libraries. These are Alfred Lane's 1950 study of Exchange Work in College and University Libraries and the Association of Research Libraries' 1976 survey of Gifts and Exchange Functions in ARL Libraries. These two studies are very useful and appropriate references are made to them throughout this paper; however, twenty-seven years have gone

by since the Lane study was done and the ARL study is somewhat limited in its scope.

While the Lane and ARL studies are based primarily on responses from mailed questionnaires, the present study involved over eight thousand miles of travel and over sixty hours of interview time with forty-eight people at eighteen selected U. S. academic libraries.[1] These libraries were selected on the basis of having a collection of at least 500,000 volumes and representing a wide geographical distribution. The libraries visited ranged in collection size from the University of Arizona Libraries (964,427 volumes) to the Yale University Libraries (6,518,848 volumes).[2] In addition to interviews with those directly involved in gift and exchange work, there were also interviews with various other library staff, including acquisitions librarians, collection development librarians, subject bibliographers, technical services librarians, and special collection librarians. As well as gathering factual information, an attempt was made to obtain personal opinions on the value of gift and exchange programs.

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[1]The libraries visited and the people interviewed are listed in the Appendix.

[2]Source for collection size is the American Library Directory, 30th ed. (New York: Bowker, 1976-77), p. 30, p. 142.

I was warmly received at all of the eighteen libraries visited and appreciation is extended to everyone who gave his or her time to be interviewed for this study. Appreciation is also expressed to the gifts and exchange staff of The Pennsylvania State University Libraries for their support on my behalf and to Stuart Stock for editing this paper. Finally, appreciation is expressed to the Council on Library Resources, Washington, D. C., whose fellowship made this study possible.

II. Gifts and Exchanges in U. S. Academic Libraries: The Historical Setting

While a history of gifts and exchanges is not the purpose of this paper, it is necessary to provide some historic perspective in order to understand the development of gifts and exchanges in U. S. academic libraries as background for this study.

Gifts

The history of gifts to libraries is undoubtedly as old as the history of libraries themselves. Indeed, the first college library to be established in the Colonies was at Harvard College in 1638 and was a gift from John Harvard. In 1767, Brown University organized a collection of books for its library with generous contributions from John Brown and his family. The Rutgers University Library, which probably began in 1792, was the result of a bequest from Rev. Peter Leydt.[1] The list of notable gifts to academic libraries is endless, but one of the more interesting is the recent gift of $100,000 to the University of Pittsburgh Libraries from the university football team's appearance in the 1976 Sugar Bowl.[2]

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[1]Josephine Metcalfe Smith, A Chronology of Librarianship (Metuchen, N. J.: Scarecrow Press, 1968), p. 58, p. 75, p. 81.

[2]"Sugar Bowl Gives Libraries One Hundred Thousand Dollars," University of Pittsburgh Alumni Times 9 (Spring 1977): 8.

One of the earliest available published articles on gifts to libraries suggests a course to be followed to encourage gifts to the library, stating that "such a course pursued through a series of years will be profitable and will sooner or later lead to substantial gifts of money or collections of books."[3] This is borne out in Kenneth Peterson's history of the University of California Library at Berkeley, which mentions the numerous gift collections given to that library.[4] Also, on the occasion of that library's accessioning its two-millionth volume, R. G. Sproul paid tribute to its many donors, stating that "these individual gifts . . . are more or less spectacular examples of thousands that have come to the University" but that "equally important have been many smaller gifts made consistently over the years, and in sum total constituting much of the basis of our Library's fame in the scholarly world . . ."[5]

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[3]"Indirect Begging," Library Journal 3 (1878): 126.

[4]Kenneth Gerard Peterson, The History of the University of California Library at Berkeley, 1900-45 (Doctoral Dissertation, University of California at Berkeley, 1968), pp. 70-86.

[5]R. G. Sproul, "On Donors and the University of California Library," in Two Million (Berkeley: University of California at Berkeley, 1955?), p. 18.

Exchanges

Donald E. Thompson does a good job of tracing the history and development of international exchanges which follow this chronology:

1694 - One of the first instances of exchange is between the Bibliothèque du Roi in Paris and several other countries.

1839-41 - Alexandre Vattemare, a French ventriloquist, visits the United States and convinces the Congress and several states to exchange some of their official publications with France.

1849 - The Smithsonian Institution begins its exchange program by distributing its first published monograph.

1867 - The Smithsonian is authorized by Congress to ship U. S. documents to foreign countries.

1877 - The first of many conferences leading to agreements on international exchanges is held in Brussels.[6]

Doris Elliott stated in 1953 that "nowhere is there an adequate contemporary history of university library exchange in this country."[7] And indeed, today, there is still no comprehensive history of exchanges in U. S. academic libraries.

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[6]Donald E. Thompson, "Exchanges," in State of the Library Art, ed. Ralph R. Shaw (New Brunswick, N. J.: Graduate School of Library Services, Rutgers, 1961), pp. 545-51.

[7]Doris Dean Elliot, "University Presses in University Library Exchange Programs" (Master's Thesis, University of Kentucky, 1953), p. 11.

Peterson states that the exchange program at the University of California Library at Berkeley started as early as 1884 and that by 1914, when an Exchange Division was officially established, the number of institutions on the exchange list had grown to twelve hundred.[8] Jacob Hodnefield mentions that exchange work in the University of Illinois Library was organized in 1909.[9] The number of exchange departments in U. S. academic libraries, according to Juanita Terry, began increasing in the late 1930's, apparently a direct result of the depression years.[10]

Those interviewed for this study knew little of the development of gifts and exchanges within their libraries, except for those few which have developed such programs in more recent times. Thus, without an exhaustive search through individual library histories and/or libraries' annual reports, it is difficult to precisely trace the merging of gift activities with exchange activities, although it is interesting to note that at the University of California at Berkeley Library, this was not accomplished until 1940.[11]

[8]Peterson, The History of the University of California Library at Berkeley, 1900-45, pp. 87-93.

[9]Jacob Hodnefield, "Records of Exchanges," Library Journal 37 (July 1912): 380.

[10]Juanita Terry, "Exchanges as a Source of Acquisition - With Special Emphasis on College and University Publications" (Master's Thesis, Columbia University, 1939), pp. 8-12.

[11]Peterson, The History of the University of California Library at Berkeley, 1900-45, p. 91.

III. Gift and Exchange Policies

Gift Policies

Half of the libraries visited for this study have a written gift policy. This corresponds closely to the ARL report which indicates that fifty-seven percent of its respondents have written gift policies.[1] That report includes examples of written gift policies as does Elizabeth Futas' Library Acquisition Policies and Procedures.

Whether written or unwritten, policies concerning gifts tend to include these areas of concern:

A. What gifts are acceptable
   1. Monetary gifts
   2. Gifts of material

B. Terms of acceptance
   1. Conditional gifts
   2. Legal title
   3. Appraisals
   4. Pick-up of gift material
   5. Retention and disposal
   6. Processing priorities
   7. Bookplating

C. Acknowledgment

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[1] Association of Research Libraries, Office of University Library Management Studies, Gifts and Exchange Functions in ARL Libraries (Washington, D. C.: Association of Research Libraries, 1976), SPEC Flyer, no. 28, Doc#1, Table 6.

What gifts are acceptable

Monetary gifts

Gift policy statements generally mention the acceptability of monetary contributions, ranging from small amounts intended for the purchase of just one or several titles to large amounts involving the establishment of endowed funds. For smaller amounts, the library usually states that it can order specific titles, or books in a specific subject area, and that such books can be bookplated denoting the donor's gift. The purposes for which larger gifts involving endowed funds are to be used are generally discussed on an individual basis between the donor and the library administration. Such discussions determine how the funds are to be administered, how they are to be spent (generally, income only), what materials are to be purchased (specific subject areas, geographical areas, etc.), whether or not purchased materials will be bookplated with special bookplates, and what sort of accounting of funds is to be provided.

Gifts of material

Surprisingly, written gift policies rarely include any criteria for what is acceptable in terms of book material. Almost half of the libraries visited indicated that they generally accept everything, often mentioning the public

relations factor and the belief that even though the donor is not offering anything substantial now, he or she may have something of value to give to the library in the future.

A number of libraries indicated that the person accepting the gift is supposed to know what is acceptable in terms of the needs of the collection, and it is that person's responsibility to determine from the donor's description of the material whether or not to accept the gift. In some cases, he or she may actually inspect the material before accepting it; this provides a better idea of the percentage which may be duplicates to the library's collection as well as the physical condition of the material.

Terms of acceptance

Conditional gifts

None of the libraries visited accept gifts which have "strings attached" by the donor, such as maintaining a gift collection as a physical entity. In practice, however, most libraries admitted that a great deal of flexibility is exercised in this area of gift policy. That is, conditions of acceptance are open to discussion with the donors, and certain conditions might be met depending on the material involved and/or the status of the donor.

Legal title

Even though the matter of legal title is generally not included in written policies, numerous libraries indicated that they have adopted the ACRL's statement on legal title. The use of an "instrument of gift" or a "letter of transmittal" is usually reserved for special types of gift collections (e.g., original manuscripts) and thus, more often encountered by special collection or rare book departments than by gifts and exchange departments. The ACRL statement acknowledges the fact that for gifts of lesser value, donors quite often are not concerned about legal title.

Appraisals

None of the libraries visited give appraisals to the donor for tax purposes, and this fact is usually written into the gift policy. Again, many libraries have adopted the ACRL statement on appraisal of gifts which recognizes that for smaller gifts, the library may want to provide an estimate of value to the donor.[2] The important phrases here are "estimate of value" and "smaller gifts." Several libraries indicated they will provide an estimate of value for smaller

[2]American Library Association, Association of College and Research Libraries, Rare Books and Manuscripts Section, Committee on Manuscript Collections, "Statement on Appraisal of Gifts," College and Research Libraries News 34 (March 1973): 49.

gifts based on such sources as Books in Print, dealer and auction catalogs, etc., if requested to do so by the donor. However, in providing such an estimate, they stress that it is not an official appraisal and that the donor accepts responsibility if using it for tax purposes.

"Smaller gifts" can probably be assumed to be those under $200, since for gifts of $200 or more, the Internal Revenue Service requires a statement including specific types of information - ranging from the name and address of the organization to which the contribution was made, to the terms of disposition of the donated property.[3] In regard to appraisals, the IRS states that "sometimes, an appraisal will be given less weight if the appraiser is associated with either the donor or the charitable organization."[4] For these reasons, most libraries tend to follow the ACRL recommendation that "the appraisal of a gift to a library for tax purposes is the responsibility of the donor since it is the donor who benefits from the tax deduction"[5] and that "generally, the cost of the appraisal should be borne by the donor."[6] Furthermore, "an archivist, curator, or librarian,

[3]U. S. Department of the Treasury, Internal Revenue Service, Valuation of Donated Property (Washington, D. C.: Government Printing Office, 1978), p. 6.

[4]Ibid.

[5]American Library Association, Association of College and Research Libraries, "Statement on Appraisal of Gifts," p. 49.

[6]Ibid.

if he is conscious that as an expert he may have to prove his competence in court, may properly act as an independent appraiser [but] he should not in any way suggest that his appraisal is endorsed by his library (such as by the use of the library's letterhead), nor should he ordinarily act in this fashion (except when handling small gifts) if his institution is to receive the donation."[7]

A third of the libraries visited indicated that they do evaluate gifts for internal purposes. This varies from actual evaluation of individual gifts received to simply multiplying the number of gifts received by the average current book price. In the former situation, those responsible for making the evaluation vary from the gifts and exchange librarian (Columbia) to a staff member with book selling experience (Arizona) to the person accepting the gift (Tennessee). In some cases, the internal evaluation of gifts at libraries is the result of their having to report the value of gifts received to the university's development office.

Pick-up of gift material

Written gift policies do not usually mention the pick-up of gift material, however, most libraries indicated that within reason they do arrange to have gifts picked up, usually

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[7]Ibid.

in a university-owned van or truck. In some cases, such as at the University of Pennsylvania Libraries, the library is assessed a small fee for such service.

Retention and disposal

Gift policies usually state that the library reserves the right to make retention decisions and to dispose of duplicates and unwanted material as it deems most suitable. It is usually explained to the prospective donor that this may be through offering such material to other libraries which can use it, by exchanging it for material the library can use, including it in a library booksale, or possibly even discarding the material. Only a few of the libraries visited for this study indicated that they will agree to return duplicates to the donor. Most libraries indicated that there were very few problems with prospective donors in regard to retention and disposal decisions and that for the most part, donors are agreeable to letting the library use the material in whatever way it decides is best.

Processing priorities

Likewise, libraries generally reserve the right to determine processing priorities. Such a policy is especially important in terms of large gift collections and for handling situations where donors return later to check the card catalog

and shelves to see what use was made of their gift - only to discover the material has not yet been processed. Such a policy, however, should not be used as justification for never processing such collections.

Bookplating

While several libraries giftplate all gift books, most do so only when it is specifically requested by the donor. These generally read "gift of . . ." or "in memory of . . ." For books bought with monies from endowed funds, special bookplates are sometimes used; in some cases, the cost of such bookplates is covered by the endowed fund itself.

Acknowledgment

All of the libraries in this study stated that they acknowledge all monographic gifts, with the exception of Case Western Reserve University Library which acknowledges gifts only when the donor requests an acknowledgment and/or when the nature of the gift and/or the circumstances surrounding it indicate an acknowledgment would be appropriate. Gift serials and periodicals (i.e., those received on a continuing basis) are generally acknowledged only with the initial issue or on an annual basis.

Exchange Policies

Surprisingly, written exchange policies appear to be practically non-existent. The only two written statements available from the libraries visited are those from the University of Tennessee Library and the UCLA Library. Such statements include the types of material to be acquired on exchange (subject and geographical areas of the world) and when to acquire such material on exchange (generally, when available only on exchange or when more economically advantageous than purchasing).

Also considered in exchange policies are the terms of exchange. Alfred Lane stated in his 1950 study that "current procedure definitely favors piece-for-piece exchange with no balance aimed at."[8] However, the majority of libraries in the present study indicated they have no specific policy for the terms of exchange. While some mentioned title-for-title, piece-for-piece, or value-for-value, most agreed that the terms of exchange were determined pretty much on an individual basis and were dependent on the publications involved (i.e., those to be sent and those to be received). The one consistent exception occurs with East European exchanges where the terms of exchange tend to be value-for-value for monographs and title-for-title for ongoing serials and periodicals.

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[8]Alfred Lane, Exchange Work in College and University Libraries (Mater's Thesis, Columbia University, 1950), p. 13.

IV. Gift and Exchange Functions

Gift and exchange functions vary among libraries since they are determined by policies which also vary. Thus, if a library's policy states that appraisals will not be provided for gifts, then appraising gifts is a function that does not have to be performed. The functions most often connected with gift and exchange work are these:

A. Requesting material available as gifts or on exchange.

B. Receiving gift and exchange material.

C. Acknowledging receipt of gift and exchange material.

D. Selection of gift and exchange material to be added to the cataloged collection.

E. Bibliographical searching and routing of gift and exchange material.

F. Disposition of duplicates and unwanted material.
   1. Giveaway
   2. Booksales
   3. Discarding

G. Other associated functions, including:
   1. Correspondence
   2. Claims
   3. PL 480 material
   4. Collection material
   5. Maintainance of files and records
   6. Packing and shipping material

Requesting Function

The requesting of material which may be available as gifts or available on exchange is comparable to the ordering of material for which the library will have to pay and includes both monographic and serial material. The procedures involved in the gift and exchange requesting function quite often correspond closely to those involved in ordering material, including "pre-order" searching, placing the "order," and maintaining a record of it.

The requesting function in gift and exchange work, however, appears to be a passive one. Most libraries in this study indicated they do not actively solicit gift material, although several indicated that they informally encourage gifts by publicizing notable gifts received. Most requests for new gift and exchange material are generated at the point when the person responsible for this function becomes aware that something is available as a gift or on exchange (e.g., an exchange partner sends a letter indicating that a new title is available as an extension of an already existing exchange). Cornell University Library actively requests monographic material on a gift basis through a system whereby the acquisitions librarian forwards to the gifts and exchange librarian LC proofcards for those titles which appear as though they might be available as gifts.

The soliciting of monetary gifts (i.e., fund raising) is generally not considered a gift and exchange function and is more commonly associated with "friends of the library" groups or library development programs, which are discussed later in this report.

Receiving Function

Where gift and exchange functions are centralized in a combined gift and exchange unit, it is the receiving function that distinguishes it from any other unit in acquisitions work. This is because the gifts and exchange unit generally receives all types of material (monographic and serial) and material which is both requested and unrequested. While it is true that those sections responsible for monographic acquisitions and/or serial acquisitions may receive material which was not ordered, much of it inevitably gets forwarded to the gifts and exchange unit for processing.

Again, the procedures involved in the receipt of requested gift and exchange material correspond closely to those involved in the receipt of ordered material, including checking the material to make sure it is what was "ordered" (i.e., requested) and clearing the outstanding "orders" (i.e., requests) file. In the case of serial and periodical titles, it may mean matching a currently received issue with others previously received.

As part of its receiving function and unlike that for ordered material, the library may find itself having to arrange for the pick-up of gift material. Depending on the area in which the library is located and its sources of gifts, this aspect of gift receiving may or may not have much significance. For a library such as the University of Southern California Library, which is located in Los Angeles and which benefits greatly from the motion picture community, the pick-up of gift material is a significant activity, with almost two thousand miles having been traveled for the pick-up of gifts during 1975-76.[1]

The receipt of monetary gifts in most gift and exchange units seems to be limited to small unsolicited amounts which are meant to purchase one or several titles, quite often in memory of someone. While the money (usually a personal check) is forwarded to the library's accounting office for deposit in a general gift fund, it is a function of the gift and exchange unit to ensure that appropriate books are ordered and giftplated. Several libraries indicated that quite often appropriate books can be selected from the blanket order shelves, eliminating the need to actually place orders.

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[1]University of Southern California Library, Annual Report of the Gifts and Exchange Department, 1975-76. (Los Angeles: University of Southern California Library, 1976). Appendix X.

Acknowledging Function

While receipt of ordered material is "acknowledged" through payment of invoices, gift and exchange material is usually acknowledged either with a form acknowledgment card (or form letter) or a personally written letter. The type of acknowledgment provided depends on the material donated and/or the donor. Single volumes or small collections of material from individuals or corporate bodies are most often acknowledged with a form card or form letter which has space for a brief description of the gift; most libraries will not provide a list of individual titles received for larger gift collections. More significant gift material or gifts from prominent donors are most often acknowledged with a personal letter which quite often is sent under the signature of the library director. In many cases, this type of letter is itself a form letter but is individually typed.

Significant gifts and gifts from prominent donors may also receive various other forms of acknowledgment or recognition. Various libraries mentioned that such gifts are reported to the university's gift office for acknowledgment by the Treasurer or the President of the university. Various other libraries mentioned that their library's annual report or the annual report of the Friends of the Library devotes a section to significant gifts received and a listing of donors. At Berkeley, significant gifts get "the special

treatment" including placing the donor's name on the library's Christmas card list. At Tennessee, an annual reception is held to honor friends and benefactors. Of course, these more elaborate forms of acknowledgment all tend to cultivate donors and indirectly encourage gift-giving to the library.

Selecting Function

As mentioned, one of the unique features of gift and exchange work is the fact that it involves both requested and unrequested material. Gift and exchange material which is specifically requested, like ordered material, presents no major problems in terms of selection at the point of receipt, assuming it has been requested because it is needed for addition to the collection.

The fact that most libraries do not actively solicit gift and exchange material, coupled with the fact that most libraries receive significant quantities of such material indicates that the larger percentage of gift and exchange material received and processed is material which was not specifically requested.

Since such unrequested material includes all subject areas and all languages, deciding what should be retained and added to the cataloged collections is a task beyond the capabilities of any one person, although at several libraries, this function appeared to be the sole responsibility of one

person (usually, the acquisitions librarian or the collection development librarian). Most often, however, the selection process involves numerous people. It is usually the responsibility of the gift and exchange unit, if one exists, to "sift-out" that material which has no value or for which the library has no need. The remaining material is then generally sorted into various subject categories for persons with the appropriate subject expertise to review. This is sometimes accomplished by routing the material, but more often is accomplished by displaying the material on shelves in a designated area. In the latter case, the appropriate people (e.g., acquisitions librarian, collection development librarian, branch librarians, subject specialists, etc.) are notified to review the material and to make retention decisions by a given date. At several libraries, unrequested gift and exchange books are displayed with blanket order or approval books, since the selection process involved is similar for both types of books.

Searching and Routing Function

Once it has been decided what gift and exchange material should be retained, it becomes a gift and exchange function to make sure the material gets routed to the cataloging department for addition to the collection. This may involve the responsibility for bibliographical searching.

In those libraries where gift and exchange functions are centralized into a single work unit, eighty-seven percent are responsible for the bibliographical searching of monographs while only thirty-eight percent are also responsible for the bibliographical searching of serial and periodical titles. Such searching is usually limited to "ownership searching", that is, ascertaining whether or not the library has already ordered the titles or has already received or cataloged them. In those libraries where gift and exchange functions are integrated into other work units, searching is done by those who search ordered material. It is interesting to note that at a number of libraries (e.g., SUNY at Buffalo, Washington University, University of Connecticut, and University of Massachusetts) book-in-hand searching is no longer considered an acquisitions function, but rather a cataloging function. This is attributed to the use of on-line cataloging systems, such as OCLC. Serial searching, however, is still most often a function of the serials department.

Disposing Function

Another unique function of gift and exchange work is the disposition of material which is not going to be retained by the library, and as Lane points out, there are three basic

ways to get rid of such material: give it away, sell it, or destroy it.[2]

Giveaway

Most libraries indicated that they do offer their unwanted material to other libraries within their geographical area by allowing librarians from other libraries to examine what is available. This is generally done on a first-come, first-served basis within a specified time limit. Some libraries also indicated that they make an effort to distribute certain types of their unwanted material to individual faculty members or university offices which might have an interest in such material. A few libraries indicated that for better material which does not fit into their collection areas, an effort is made to find a library which does collect such material. Most librarians involved in gift and exchange work have at one time or another experienced the frustration of trying to match such material with those who might be able to use it. Because there is an expense involved in giving away material, little time is generally devoted to such activity.

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[2]Alfred Lane, "Options for Book Disposal," The Deacquisitions Librarian 1 (Summer 1976): 7-8.

The listing of duplicates and unwanted items for exchange or disposal purposes is another activity to which little time is devoted. Only twenty-five percent of the libraries visited prepare lists of duplicate and unwanted monographs, while forty-four percent list duplicate and unwanted serials and periodicals. Those libraries which do list monographs are selective about what they list and usually do so for the purpose of monographic exchanges with foreign institutions. The listing of serials and periodicals is more often done for the purposes of offering the material to the USBE or selling it to dealers.

Booksales

Library booksales appear to be quite popular, as seventy-six percent of the libraries visited indicated that they conduct booksales. These most often are held occassionally throughout the year although four of the eighteen libraries have ongoing sales, and several actually have separate sales rooms with regular hours of operation. Several of those libraries which do not conduct booksales stated that they were prohibited from doing so by state law.

Ongoing sales are most often staffed by student assistants while the occasional sales are generally staffed by gift and exchange staff and other staff from acquisitions and collection development. The material sold usually includes

duplicates, material not selected for addition to the collection, and in some cases, withdrawn material from the cataloged collection. Pricing of material to be sold is occasionally done by a library staff member having bookselling experience, but more often, types of material are lumped into various price categories (e.g., dime books, fifty-cent books, and dollar books). Many libraries have a system to move books from higher priced categories into lower priced ones, if they do not sell within a given time limit.

The annual proceeds from booksales at the libraries visited range from $700 to $15,000. Of course, those libraries which have ongoing sales realize the highest proceeds, although several libraries having occasional sales (lasting two or three days), indicated that they realized proceeds of several thousand dollars. Booksale proceeds quite often are channelled into book funds for buying new books, replacements, or duplicate copies of heavily used books. In some cases, the money goes into an exchange account which is used for purchasing material to be used for exchange purposes (i.e., bartered exchanges). At some libraries, booksale monies have been used for such purposes as buying a coin changer and for purchasing art work for the library staff room.

Although several libraries mentioned occasional problems with booksales, such as faculty members discovering sale books they know the library does not have, the general

consensus is that library booksales promote a lot of good will and are a good way to eliminate material taking up precious storage space.

Discarding material

If you can't sell it and you can't give it away, the only remaining alternative is to discard it. For small numbers of volumes, this is generally no problem since they can be disposed of through waste baskets. Of course, as Lane points out, "if you put them with the regular trash, someone will inevitably paw through them and raise a great hue and cry about the library's throwing away valuable books."[3]

Disposing of large numbers of unwanted volumes is a more difficult matter. As Lane mentions, waste paper dealers will not handle discarded books unless the covers are removed, which is a costly process, and most libraries do not have access to an incinerator.[4] Removing covers and splitting bindings are required by many recycling operations, making recycling an impractical solution to the problem in most cases.

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[3]Ibid., p. 7.

[4]Ibid.

Other Associated Functions

Correspondence

Gift and exchange work involves a great deal of correspondence and consequently, many libraries use form letters to a great extent. Personal letter writing is usually limited to acknowledging significant gifts and clearing up involved problems. A few gift and exchange librarians mentioned that for some countries (e.g., Latin American countries), experience has shown that there is a better chance of reply if letters are personally written in the native language.

Claims

The handling of claims includes (1) answering claims from exchange partners for publications the library sends to them, and (2) claiming those publications the library is supposed to receive either as gifts or on exchange. For answering claims, a library usually maintains various back issues of its exchange publications. In a case where the exchange publication is sent directly from another campus office, the particular office involved must be notified; and, in the case of bartered exchanges (i.e., where the library pays for a publication to be sent to an exchange partner), the issues claimed have to be back-ordered from the publisher or vendor.

In those libraries where gift and exchange functions are centralized into a single work unit, only twenty-two percent are responsible for claiming issues of gift and exchange serial and periodical titles. Such claiming is most often done by the serials department and is done rather intermittently - either as a special project when time permits or when discovering missing earlier issues upon receiving the most recent issue(s).

After several unsuccessful attempts at claiming gift and exchange titles, the serials department will notify the gift and exchange unit (if one exists). Aside from sending a personal letter or telephoning, there is little further that can be done about claiming gift titles, except record that unsuccessful attempts were made at claiming. In the case of exchange titles, however, the library can mention that it will drop the exchange partner from its mailing list if some response to the claim is not received.

PL 480 material

Seventy-two percent of the libraries visited are recipients of material received from the Public Law 480 program. Since the recipient library does not pay for this material, it is surprising to learn that in most instances, the gifts and exchange unit (if one exists) is not responsible for its

processing. At many libraries, the handling of PL 480 material is the responsibility of the bibliographers, the serials department, or the documents department.

Collection material

In addition to processing gift collections, gift and exchange units are also occasionally responsible for processing purchased collections since the procedures involved are similar. However, the majority of libraries indicated that the purchasing of collections has dwindled since the 1960's.

Maintenance of files and records

Like all segments of technical services, gift and exchange work requires maintaining files and records. Correspondence files for gifts, including copies of acknowledgment letters, are generally arranged alphabetically by individual or corporate name, while correspondence files for exchanges are generally arranged alphabetically by country and then, by city within each country. In some cases, correspondence files are subdivided by periods of time so that older correspondence can periodically be purged from the files. More often, though the tendency seems to be to maintain copies of correspondence indefinitely.

In addition to keeping copies of acknowledgment letters for gifts, some libraries also maintain a "donor's file." The cards in such files usually include the donor's name, his or her affiliation with the university, a brief description of the gift including the number of volumes donated, the dates when the gift was received and acknowledged, the value of the material if an appraisal was involved, and the final disposition of the material.

The majority of libraries visited also maintain a card file for exchanges. The cards in these files usually include the mailing address of the exchange partner along with a list of the titles being sent and those being received. Additionally, either a card file or a list of addresses is generally maintained for each exchange publication the library sends (or is responsible for having sent).

Some libraries also maintain separate files by title for monographs, and for serials and periodicals which are processed as gifts or exchanges.

Besides adding cards to these files as new exchanges are established or as new titles are processed, cards may also have to be pulled if exchanges are cancelled or titles dropped. For serial and periodical titles, the serials department must be notified so that it can also correct its records. For serial and periodical titles no longer received as gifts or on exchange, someone has to decide whether

or not to continue them as paid subscriptions, if that option is available.

Packing and shipping material

In some cases, the library may be responsible for packing and shipping certain of its exchange publications. Depending on the number of such publications and the number of exchange partners to which they are sent, this function may be costly in terms of staff time and postage.

V. The Organization of Gift and Exchange Work

While gift and exchange functions are determined by gift and exchange policies, the way in which these functions are accomplished depends on how they are organized, and this, too, can vary. The ways in which gift and exchange activities are organized at the libraries visited is shown in Table 1. These types of organization are comparable to the findings of the 1976 ARL survey which indicates that fifty-seven percent of its libraries have a centralized gift and exchange unit (i.e., gift and exchange activities are centralized in a single work unit), thirteen percent have two separate units (i.e., a separate unit for gifts and a separate unit for exchanges), and thirty percent integrate gift and exchange functions into various other work units.[1]

There is a wide range of variance at those libraries that integrate gift and exchange functions into other work units. At Connecticut, for example, a monographic exchange with the Lenin State Library is handled by a preprofessional staff member with the appropriate language background, and the handling of gift material is a responsibility of the acquisitions librarian. At Massachusetts, the bibliography

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[1]Association of Research Libraries, Office of University Library Management Studies, Gifts and Exchange Functions in ARL Libraries, Doc. #1, Table 1.

Table 1. The organization of gift and exchange functions at the eighteen libraries visited.

Type of Organization	Libraries	Total	Percentage
Centralized gift and exchange unit	Pittsburgh, Cornell, USC, Berkeley, Arizona, Penn, Columbia, North Carolina	8	44%
Separate gift unit and a separate exchange unit	UCLA, Yale	2	12%
Integrated into other work units	Case Western, SUNY at Buffalo, Rochester, Colorado, Washington, Tennessee, Connecticut, Massachusetts	8	44%
	Total	18	100%

division is responsible for all gifts and exchanges, while at Tennessee, exchanges are mostly centralized in the serials department and gifts are handled in special collections, collection development, and the branch libraries. North Carolina has several area exchanges (e.g., Slavic, Latin American, and East Asian) under its bibliographical services division in addition to a general gift and exchange program under its acquisitions department.

Lane reported that of the respondents in his 1950 study having an organized exchange division, fifty-nine percent indicated that it functioned as part of the acquisitions department.[2] It remains true that most centrally organized gift and exchange units function as part of the acquisitions department. The exceptions in this study are several libraries where gifts and exchange is considered a separate department within technical services. There are no cases in this study where a combined gift and exchange unit is part of the serials department.

Concerning the length of time that the present organizational structure for gifts and exchange has existed, most responses were along the line of "for some time" or "forever." Fourteen libraries (seventy-seven percent) indicated also that no major changes in their gifts and exchanges organization were planned for the near future. Thus, it appears

[2]Lane, Exchange Work in College and University Libraries, pp. 5-6.

that the way in which gift and exchange functions are organized in most libraries has remained rather stable.

In October 1975, the UCLA Library administrative officers initiated a study of its gift and exchange division. As a result of that study, the gifts and exchange division was moved out of the technical services department and reorganized so that there now are two separate divisions reporting to two separate departments. Gifts are considered a function of bibliography and the gifts librarian reports to the head of collection development. Exchanges are considered a function of serials and the exchange librarian reports to the head of the Serials Department. It will be interesting to learn, after a year or so of this type of organization, what the advantages and disadvantages of it might be.

As the UCLA report points out, there seems to be a tendency when gift and exchange functions are centrally organized into single work units, for such units to regard themselves - and to be regarded by others - as separate units, regardless of the larger divisions to which they belong (i.e., acquisitions, collection development, or technical services).[3] This is undoubtedly because centrally organized gift and exchange units are organizational microcosms of the larger technical services organization. That

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[3]University of California at Los Angeles Library, Gifts and Exchanges Preliminary Study. (Los Angeles, UCLA Library, 1976), p. 15.

is, they are responsible for many functions (selection, requesting, bibliographical searching, setting-up serials, etc.) which for paid material are the main functions of separate units (monographic order section, serials order section, etc.).

Therefore, the basis of the technical operations organization for material that is paid for (in larger libraries) seems to be by type of material (monographic or serial) and then by function (ordering, receiving, searching, etc.), while the basis for centrally organizing gift and exchange work is by its source of acquisition, that is, just by virtue of the fact that it is gift and exchange material.

There is no general rule of thumb for how to best organize gift and exchange functions. This must be decided individually by libraries since there are so many variables involved. Of the libraries visited, however, there does seem to be a direct relationship between centrally organized gift and exchange units and size of library in terms of holdings, quantity of gifts received, number of exchanges maintained, and the library administration's commitment to the processing of gift and exchange material.

Some libraries expressed the opinion that by integrating gift and exchange activities into various work units they were more efficient in gift and exchange processing. However, having four "regular" searchers (i.e., those who search ordered material) spend twenty-five percent of their time also

searching gift and exchange material is still the equivalent of having one full-time person searching only gift and exchange material. Perhaps the main advantage to centralizing gift and exchange functions into a single work unit, then, is that the same staff is consistently working with the same type of material. In effect, they become "specialists," and this in the long run may actually provide increased efficiency.

VI. Gift and Exchange Staffing

Seven of the eighteen libraries visited (thirty-nine percent) have professional gifts and exchange librarians. These include Cornell, USC, Berkeley, Penn, Columbia, and North Carolina; UCLA has both a gifts librarian and an exchange librarian. It is interesting to note that out of these seven, six have the organizational structure of a centralized gift and exchange unit and are among the largest libraries visited in terms of collection size.[1] Thus, it appears that it is the larger academic libraries which have centralized gift and exchange units headed by professional librarians.

With two exceptions, the direct responsibility for gifts and exchanges at the remaining libraries belongs most often to the acquisitions librarian or to subject bibliographers. The exceptions are Pittsburgh and Arizona, where gifts and exchanges are the responsibility of pre-professionals.

In all cases, regardless of organizational structure and regardless of who is directly responsible, many professional librarians find themselves involved at one time or another with gift and exchange work. These are most often acquisitions librarians, collection development librarians,

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[1]The collection size of the libraries visited is given in the Appendix.

subject bibliographers, branch librarians, special collections and rare book librarians, and serials librarians. This, as mentioned earlier, is because gift and exchange work involves all types of material, much of which is unrequested. Thus, even in those libraries having full-time professional gifts and exchange librarians, it is difficult to determine how much of total professional staff time is involved in gift and exchange work. This becomes increasingly difficult in those libraries where gift and exchange functions are integrated into various work units.

In those libraries where gift and exchange functions are centralized into a single work unit, the head of the unit most often reports to the acquisitions librarian. Three exceptions were noted. At Pittsburgh, the library associate responsible for gifts and exchanges reports to the Coordinator of Processing (there is no acquisitions librarian); at USC, the gifts and exchange librarian reports to the Assistant Librarian for Technical Services; and, at Columbia, the gifts and exchange librarian reports to the Director of the Technical Support Group, the result of that library's participation in a reorganization program in 1973.

Lane said in 1950 that ". . . the typical exchange division is made up of two people, one of whom is professional and the other sub-professional or clerical."[2] The 1976

[2]Lane, Exchange Work in College and University Libraries, p. 7.

ARL study indicates that sixty percent of its respondents had from .6-2 FTE professional staff and 1.1-5 FTE nonprofessional staff operating within gift and exchange functions.[3] The typical staffing at those libraries in the present study having a centralized gifts and exchange unit is shown in Table 2.

Various position descriptions for gift and exchange work are included with the ARL study.[4] A description of the responsibilities of the gifts and exchange librarian at USC gives an interesting view of the capabilities required of librarians involved in gift and exchange work. In addition to being familiar with the bibliographical idiosyncrasies and the technical processing procedures of all types of library material, such persons must also have supervisory abilities, be capable of maintaining public relations, be able to coordinate work with various library departments and librarians, and be able to organize and maintain appropriate records and files.[5] In addition to performing those functions which

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[3]Association of Research Libraries, Office of University Library Management Studies, Gifts and Exchange Functions in ARL Libraries, Doc. #1, Tables 3 and 4.

[4]Ibid., Doc. #'s 22-27.

[5]University of Southern California Library, Annual Report [of the] Gifts and Exchange Department [at the] University of Southern California Library, 1976-77. (Los Angeles: University of Southern California Library, 1977).

Table 2. The average number of staff directly involved in gift and exchange work at those libraries having a centralized gifts and exchange unit.

Staff Category	Number of Staff
Professionals	1
*Pre-professionals	2
Clerical	10 hours per week
Part-time	25 hours per week

*(Most often referred to as Library Assistants or Library Associates).

are most closely related to gift and exchange work, it is interesting to note that several gifts and exchange librarians interviewed for this study were also responsible for such duties as out-of-print searching and handling the withdrawal of materials from the cataloged collection.

VII. Gifts and Exchanges - Specific Considerations

Sources of Gifts

The sources of gifts to libraries are many and varied although those libraries located in somewhat isolated areas are more limited in their sources of gifts than those located in urban areas. Those sources of gifts most often mentioned during the interviews for this study included faculty members, alumni, friends and patrons of the library, local residents, individual authors, various organizations such as banks and foundations, other universities, and governmental agencies. Various libraries mentioned that they receive complimentary copies of titles published by their university presses, and several libraries receive review copies of new books, forwarded to them from faculty members and from other offices on campus.

Vanity Press Publications

Libraries are often the recipients of vanity press publications, donated by their authors. As early as 1902, Angeline Scott had noted that:

> the 'crank authors' . . . always seem to have plenty of money for printing and postage, and every library receives some of this class of new books. While Mr. Fiske was assistant librarian at Harvard he saw the need of a new term of

> classification for such literature, so that books on perpetual motion need not be placed under Physics, nor essays on circle-squaring under Mathematics. He called it at first Insane Literature, but when living authors not residing in asylums were likely to visit the Harvard Library and be displeased by the imputation, it was thought best to change the designation to Eccentric Literature, which gave less offence and even implied a pleasing quality of originality to some minds.[1]

Among some of the better known vanity presses are Exposition, Carlton, Pageant-Poseidon, Vantage, William Frederick of New York, Dorrance of Philadelphia, Mojave of California, and Thom Hendricks of Alabama. As Roger Morris points out, there is no reader demand for vanities because they are not reviewed.[2] Even the Library of Congress keeps its vanity publications in a storage area for several years and then throws them out.

It would seem that the only vanity books libraries might wish to retain would be those by local authors or about local subjects.

Friends of the Library

Friends of the Library groups provide an organized means of encouraging the interests of outside sources in

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[1]Angeline Scott, "Perplexities of Gifts," Library Journal 27 (March 1902): 129.

[2]Roger Morris, "Vanity Publishing," American Libraries 5 (September 1974): 421.

giving to the library. Of the libraries visited for this study, eighty-three percent have a friends group, although gift and exchange librarians are generally not active in such organizations, except perhaps to attend their meetings. Andrew Eaton mentions that in addition to their usefulness as a source of funds supplementing the book budget, such groups provide the opportunity over the long run to acquaint bibliophiles and/or wealthy friends with the library's role and needs.[3]

Gift Endowments and Bequests

Most of the libraries studied report having endowed funds from which they can spend the interest. These range in number from just a few endowed funds (UMass) to approximately a hundred such funds (Colorado and Cornell), In terms of expendable income, the range is from several thousand dollars (UMass) to well over a hundred thousand dollars (Cornell, UCLA, Colorado, and Columbia). There is no direct correlation between the number of endowed funds and the expendable income from such funds; some libraries have many small funds while others have a few large funds.

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[3]Andrew Eaton, "Fund Raising for University Libraries," College and Research Libraries 32 (September 1971): 356.

Such funds are generally administered through the offices of the library administration and are placed under the control of assigned selectors, bibliographers, subject specialists, etc.

While many such funds originated as bequests, most of the libraries in this study indicated that presently they are not often named as beneficiaries in legally executed wills.

Fund Raising

Several of the libraries visited for this study are involved in fund raising efforts, which are generally coordinated with the university alumni office or the university development office. This is likely to become an area of increased activity as both publicly and privately supported universities experience growing financial pressures. In some cases, individual staff members of the university development office may be assigned to work with major divisions of the university such as the library and as Eaton suggests, ". . . they look to deans and other administrative officers and faculty to take the initiative in suggesting proposals, in identifying prospects, and in making presentations . . . the librarian should make every effort to understand how the development office works, to know the staff, and to see that they are fully informed about library needs."[4]

[4]Ibid., p. 354.

In addition to individual and corporate giving, foundations are a major source of funding for libraries. As Patricia Breivik points out, during 1973 and 1974, 421 domestic grants totaling $48,958,160 were awarded to libraries, and of these, "academic libraries far outrank all other types of libraries in number of grants received and attract most of the larger gifts." The money is out there, but the competition is stiff. It is the library whose proposal demonstrates programatic strength which has the best chance of obtaining foundation support, and Breivik states that "whether the grant request is for construction, equipment, personnel or a special project, it is imperative that the proposal underscores the strength of the entire program and the effect the funding will have on that program."[5]

Exchange Programs

Of the libraries visited, eighty-nine percent are involved in some sort of exchange activity. A number of libraries (Washington, Tennessee, Connecticut) have very limited exchanges while others (UCLA, Berkeley, Cornell, Yale) have rather extensive exchange programs. Yale, for example, has over twenty-five hundred exchange partners and Berkeley has

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[5]Patricia Senn Breivik, "Foundation Funding," Library Journal 100 (December 15, 1975): 2299, 2301-2.

over four thousand. Most libraries tend to have at least several hundred exchanges, and this can probably be considered about average.

Lane found in his 1950 study that "the geographical distribution of exchange activity is heavily overbalanced in favor of colleges and universities in the United States and Canada."[6] However, most of the libraries included in this study indicated that at least seventy percent of their exchanges are with foreign institutions, and most of those libraries having extensive exchange programs indicated that as many as ninety-five percent of their exchanges are with foreign institutions.

Exchange Publications

A good exchange program, of course, depends upon those publications which are available to the library to use for exchange purposes. These most often include titles published by the university's press or by various university departments and are usually available without cost or at reduced rates. Discounts given to libraries on exchange publications by university presses seem to vary a great deal and range from ten percent (UMass) to fifty percent (Penn and Cornell).[7]

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[6]Lane, Exchange Work in College and University Libraries, p. 22.

[7]Bill Schenck, The Head of the Acquisitions Department at the University of North Carolina Libraries, is currently involved in a study on discounts given by university presses to libraries for exchange purposes.

Occasionally, a publication being used by the library for exchange purposes ceases publication. If a suitable substitute is not available, such a situation may result in the curtailment or cancellation of exchanges. This was the case at SUNY at Buffalo where the entire exchange program was cancelled because it was based on just one title which eventually ceased publication. Curtailment or cancellation of exchanges also results sometimes from situations where the library finds itself having to pay for publications which had previously been available to it without cost for exchange purposes.

Bartered Exchanges

Ten of the libraries visited (fifty-six percent) indicated that they also have "bartered exchanges," where the library pays for American publications, which in turn are sent to foreign exchange partners. Some libraries have separate "exchange accounts" to use for this purpose, and these range in amount from a few thousand dollars to as much as $35,000 (Berkeley). Such exchanges are generally used for acquiring monographic material from China, Russia, and East European countries, although they are also used for acquiring serial titles from various countries. In either case, the vendor (or publisher) generally ships the requested material directly to the exchange partner and sends the invoice to the library for payment.

Various libraries mentioned that East European countries are always anxious to expand exchange arrangements since they do not have Western currencies but that sometimes, such exchanges get out of hand. While they will request any American trade publications on exchange, they limit their American exchange partners to selecting from their lists of publications which are generally given inflated monetary values. Unfortunately, since such publications can usually be acquired only through exchange arrangements, libraries collecting in these areas have little choice in the matter.

Sources of Exchange

UNESCO has always actively supported international exchanges. The UNESCO Bulletin for Libraries, which is published six times a year, includes listings of institutions having materials to offer on a gift or exchange basis. The third edition of the UNESCO Handbook on the International Exchange of Publications provides an extensive listing of institutions which have exchange programs and is arranged by country, city, various subject categories, and by specific titles. While these sources are very useful for establishing exchanges, most of the libraries visited for this study indicated they do not use them. Most libraries are not actively establishing new exchanges. New exchanges seem to be

most often established on a reactive basis; that is, another institution takes the initiative to write or send a sample issue in the hopes of establishing an exchange.

National Exchange Centers and the International Exchange Service of the Smithsonian Institution

As a result of various international exchange conventions, national exchange centers were established in many countries to serve as a means of transmitting publications among the countries.[8] The International Exchange Service at the Smithsonian Institution was established in 1848 and in 1867 was officially recognized by Congress as the American agency for the international exchange of publications.

The following paragraph from J. A. Collins describes the function of the International Exchange Service:

> The Smithsonian Institution extends the use of the International Exchange Service to libraries, societies, educational institutions, and individuals in the United States who wish to transmit their publications on exchange or as gifts to similar institutions in other countries. The publications must be packaged and addressed to the intended recipient, and transportation charges to the [Smithsonian] Institution must be prepaid. There is no charge to the sender for the transportation charges from the Smithsonian Institution to the intended recipient. Addressed packages of publications are forwarded to the thirty-seven exchange bureaus in other countries, who then transmit the

[8] A list of national exchange centers is published frequently in the UNESCO Bulletin for Libraries.

> packages to the addressees. If the country of destination does not have an exchange bureau, the publications are mailed directly to the addressees unless there is a sufficient amount of publications to justify an ocean shipment, in which case the publications are sent by ocean freight, transportation charges prepaid, to the port of entry of the country of destination.[9]

As Peter Genzel points out, however, the slowness of indirect dispatch through national exchange centers is so obvious that it has never been doubted seriously, and the costs of indirect dispatch are sometimes in question.[10] He states that "it is unprofitable to forward materials, for instance, from California to Washington, [D. C.] for transmission to Japan or Australia."[11] The slowness results because individual consignments are collected at the national exchange centers until there is a sufficient amount of material to be shipped to any one recipient.

In a 1934 study of exchanges at Berkeley, Ivander MacIver stated that "a surprisingly small number of our foreign exchanges forward their material through the Smithsonian Institution. We were aware that many on our exchange list

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[9]J. A. Collins, "The International Exchange Service," Library Resources and Technical Services 10 (Summer 1966): 340.

[10]Peter Genzel, "The Efficiency of the Transmission Function of National Exchange Centres for the International Exchange of Publications," UNESCO Bulletin for Libraries 30 (March 1976): 83-9, 106.

[11]Ibid., p. 89.

send their packages by post, but the percentage was even higher than we had anticipated. Evidently, many institutions and individuals find it preferable to use the more direct means of transportation."[12] In his 1950 study, Lane said "the means of carrying out foreign exchange is almost evenly divided between dealing directly with the institutions involved and dealing through the Smithsonian Institution, although some emphasis is placed on dealing directly."[13] In the present study, however, only five libraries (twenty-eight percent) indicated making any use at all of the International Exchange Service of the Smithsonian Institution.

Universal Serials and Book Exchange (USBE)

The Universal Serials and Book Exchange (formerly the United States Book Exchange) was established in 1949 and recently distributed its thirteen millionth publication.[14] The USBE is a private, nongovernmental, and nonprofit corporation which acts as a clearinghouse for the redistribution of surplus publications on an international level.

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[12]Ivander MacIver, "Year's Study of Exchange," Library Journal 59 (February 15, 1934): 168.

[13]Lane, Exchange Work in College and University Libraries, p. 23.

[14]"Universal Serials and Book Exchange," RTSD Newsletter 3 (January 1978): 2.

Its current stock consists of about four million periodical issues of thirty-five thousand titles and a hundred thousand books and documents.

Along with the current annual membership fee of $25, a member library agrees to deposit its duplicate or surplus publications with the USBE. This entitles the member library to select titles from various monthly lists which the USBE provides; or, a member library can order any publication, which USBE will search against its stock. The relatively low fees charged for materials supplied by the USBE are based on the cost of operation and not on the value of the material.

Most of the libraries visited for this study are members of the USBE and feel that it is generally worthwhile. A few libraries believe they are sending more to the USBE than they are receiving, and several West Coast libraries are not members because shipping costs to the USBE in Washington, D. C., make it impractical. In member libraries, the USBE lists are usually circulated to appropriate bibliographers for selection purposes, and serial departments use the USBE for requesting back issues for replacements and filling gaps.

VIII. Statistical and Budgetary Considerations of Gift and Exchange Work

The ARL study indicates that the approximate number of gifts received annually at the majority of libraries it surveyed is as follows:

34% receive 3,000 - 10,999 gifts
27% receive 11,000 - 25,999 gifts
17% receive 26,000 - 49,999 gifts
10% receive 50,000 - 145,000 gifts[1]

An attempt to acquire such information for comparison purposes from the libraries in the present study proved impossible. Most of the libraries visited either keep so few statistics for gifts and exchanges as to be useless or keep so many statistics as to be overwhelming and confusing. In some cases, statistics include ephemeral material or material which has been withdrawn from the cataloged collections. In other cases, figures given are sometimes for titles and at other times for volumes. Because of such inconsistencies, it would be unrealistic to try to make any specific comparisons based on such statistics.

The only accurate statements which can be made from a comparison of gift and exchange statistics are these general ones:

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[1]Association of Research Libraries, Office of University Library Management Studies, Gifts and Exchange Functions in ARL Libraries, Doc. #1, Table 7.

A) All libraries receive a significant number of gifts annually and larger libraries (in terms of holdings) receive proportionately more gifts than smaller libraries.

B) The majority of gift material received is material not specifically requested.

C) Significantly more gift material is received than exchange material.[2]

D) Less than half of the gift material which is received is likely to actually be added to the cataloged collections (although the quality of the material added is fairly high).[3]

There seems to be uncertainty about what percent of the total monographs and serials added to cataloged collections are received as gifts and on exchange. Some of the people interviewed guessed that perhaps as much as twenty to twenty-five percent of both monographic and serial titles currently being added to their collections were acquired through gift

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[2]Most libraries indicated that approximately eighty to ninety percent of the gift and exchange material which they receive is gift material. Two exceptions are Yale (thirty percent) and Berkeley (ten percent). These two libraries, coincidentally, have the largest exchange programs of all the libraries visited for this study and therefore, it is not surprising that they receive more exchange material than gift material.

[3]The ARL study indicates that seventy-three percent of its respondents process fewer than fifty percent of the gifts they receive. "Process," in this case, is assumed to mean "added to the cataloged collections." Several of the libraries visited indicated that they include material which is discarded as having been "processed" in their statistics since, in fact, it is processed through the system. Thus, it is necessary to distinguish between "processed" and "cataloged" when comparing such statistics.

and exchange sources. The significance of having such information available was suggested by William Lindstrom in his 1970 study of gifts and exchanges at the University of Hawaii Library:

> Based upon last year's statistics that 15,000 gift titles were received by the library and that forty percent of these items are added to the collection, it follows that as much as eight percent of the total titles added to the library were gifts. The significance of this information that if eight percent of our acquisitions effort involves gifts, then the percentage converted into time should be forecasted and programmed into our total acquisitions effort in order to assure expeditious and efficient handling of these materials. The acquisition effort is not only confined to that expended within the Technical Services Division. It includes that intra-departmental effort allotted for acquisitions regardless of the department's physical location or its primary activity within the scheme of the University libraries. Thus the system works as long as we refuse to regard gift materials as those to be 'worked' when time permits or when their growth forces a grand organized effort to reduce their size to a manageable state.[4]

Several of the libraries visited for this study have done or were currently involved in some sort of cost study for gifts and exchanges in their libraries. A number of

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[4]William Lindstrom, "Gifts and Exchanges at the University of Hawaii Library," Hawaii Library Association Journal 27 (June 1970): 21.

such studies at other libraries have been published and while the methods used and the conclusions vary somewhat, the results tend to indicate that such programs pay for themselves in terms of acquisition costs. Victor Novak, in his 1965 study of exchanges at the University of Santa Clara, found that the value of exchange material being received and added to the collection was about $1300 more than the cost of acquiring the material.[5] Similarly, John Galejs' 1972 study indicated that exchanges at the Iowa State University Library were economically beneficial, as the value of receipts exceeded the direct costs to the library by at least $5000.[6] Earlier cost studies done at Columbia, the University of California and the University of Michigan also indicate that exchanges can be cost effective.[7]

Studies such as these are based on determining the total cost of acquiring such material (salaries, cost of exchange publications being sent, postage, etc.) and then comparing this against the value of the material added to the collection. Since many publications received on a gift or exchange basis do not have prices, their value has to be estimated based on the average of those which do have prices.

[5]Victor Novak, "Let's Exchange Profitably," Library Resources and Technical Services 9 (Summer 1965): 349.

[6]John Galejs, "Economics of Serials Exchanges," Library Resources and Technical Services 16 (Fall 1972): 517.

[7]Ibid., p. 511.

Some librarians believe that there are "hidden" costs involved in processing gift and exchange material and Donald J. Coombs, John N. DePew, and Marty Bloomburg mention these as including costs for correspondence, telephone calls, packing material to be exchanged, claiming, evaluation of material, and problems with having to pay for subscriptions which previously were received as gifts or on exchange.[8] However, since such activities, for the most part, are included in cost studies as part of the cost of acquiring the material, one can conclude that these activities are not really hidden costs at all and that they are compensated for by the value of the material added to the collections.

Unfortunately, there are no studies available comparing the cost of acquiring gift and exchange material to the cost of acquiring "ordered" material. However, if one takes into account for ordered material the costs of fund administration, selection, preorder searching, order placement, claiming, duplication, return of material, and accounting procedures, it can be seen fairly easily that the acquisition cost per volume of gift and exchange material is less than the acquisition cost per volume of ordered material.

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[8]Donald J. Coombs, "Peerings Into the Mouth of the Gift Horse," Wilson Library Bulletin 45 (June 1971): 1010-11; Encyclopedia of Library and Information Science, 1973 ed., s.v. "Gifts and Exchanges," by John N. DePew; Marty Bloomburg, Introduction to Technical Services for Library Technicians (Littleton, Colorado: Libraries Unlimited, Inc., 1976), pp. 124-6.

Ultimately, of course, the value of gift and exchange material must be determined subjectively. The question is "what value does such material have to collection-building in academic libraries?" An attempt was made during the interviews for this study to gather opinions not only from those directly involved in gift and exchange work, but also from other library staff, including acquisitions librarians, collection development librarians, technical services librarians, and bibliographers.

Although there were some negative remarks regarding gifts and exchanges from those interviewed, most of these centered on inefficiencies in policy, organization, staffing, and procedures. Positive comments were in the overwhelming majority, reflecting a belief that gift and exchange material forms a significant contribution to the library's collection by supplementing it with research material that might not otherwise be acquired. While most libraries accept everything offered to them as gifts, they are very selective about what they actually add. Therefore, the quality of gift and exchange material actually being added to library collections appears to be very high.

Thus, with a sound policy, effective organization, and efficient processing procedures, gifts and exchanges can be a cost effective means of acquiring valuable research material for academic libraries.

IX. Summary

There has been an increase in the published literature on gifts and exchanges in the past ten years. Most of this literature has dealt with specific aspects of gift and exchange work, while only two studies in over twenty years have dealt with the organization and functions of gift and exchange work in U. S. academic libraries. While the history of international exchanges can be traced without much problem, the history and development of gift and exchange activities in U. S. academic libraries is essentially buried in individual library histories and reports. Most of those interviewed for this study knew little of the development of gift and exchange activities in their libraries. Thus, this is an area that is open to future investigation and research.

None of the libraries in this study felt they could adopt a policy of not accepting gifts and, consequently, all of them receive and process gifts to some extent. Sixteen of the eighteen libraries (eighty-nine percent) have exchanges. As one might expect, the quantity of material received as gifts and the extert of exchange activity are directly proportional to the size of the libraries' holdings. Similarly, it is the larger libraries which tend to centralize gift and exchange activities into a single work unit and which tend to be under the supervision of a professional librarian. Such units are usually part of the acquisitions

department. At those libraries where gift and exchange activities are centralized into a single work unit, the average staff consists of one professional librarian, two preprofessionals, limited clerical help (ten hours per week) and limited part-time help (twenty-five hours per week).

Half of the libraries have a written gifts policy, while only two have any sort of written policy on exchanges. Written gift policies generally cover such topics as conditional gifts, legal title, gift appraisal, retention, and disposal. Exchange policy statements usually mention the types of material to be sent and acquired on exchange, when to acquire material on exchange (usually when available only on exchange or more economically advantageous than purchasing), the terms of exchange (piece-for-piece, title-for-title, or value-for-value), and whether or not material will be purchased for exchange purposes (i.e., bartered exchanges).

Almost half of the libraries accept everything offered to them on a gift basis, often mentioning the public relations factor and the belief that although the donor is not offering anything substantial today, he or she may have something valuable to offer in the future. Ironically, those libraries which complained about receiving large numbers of unacceptable gifts fell into this category.

None of the libraries accept gifts with "strings attached," although most libraries are flexible and will

occassionally accept such conditional gifts depending on the material involved and/or the status of the donor.

Many libraries have adopted the ACRL's statements on "legal title" and "appraisal of gifts." None of the libraries give official appraisals for gifts although some will estimate the value for smaller gifts. A third of the libraries, however, do evaluate gifts for internal accounting purposes.

Most of the libraries reserve the right to make retention decisions, to set processing priorities, and to dispose of duplicates and unwanted material as they deem suitable. A few libraries giftplate all gift material, but most do so only when requested by the donor. All of the libraries acknowledge the receipt of gifts, but only a few provide lists of books received in gift collections or return duplicates to the donor.

There are a variety of procedures making up gift and exchange work. Material is requested and received, and receipt acknowledged. Then, material for addition to the collection must be selected, bibliographically searched, and routed to the appropriate place. Finally, unwanted material must be disposed of.

Most libraries do not actively solicit gift and exchange material and therefore, the requesting function in gift and exchange work appears to be a passive one. Most libraries receive substantially more gift material than exchange

material. After initial sorting, unrequested material is either routed to or displayed for appropriate selectors to review for retention decisions.

In those libraries where gift and exchange functions are centralized into a single work unit, eighty-seven percent are responsible for the bibliographical searching of monographic material while only thirty-eight percent are also responsible for the bibliographical searching of serial and periodical titles; such searching is usually limited to "ownership" searching.

Only twenty-five percent of the libraries prepare lists of duplicate and unwanted monographs while forty-four percent prepare lists of duplicate and unwanted serials and periodicals. Those libraries which do list monographs are selective about what they include and usually do so for the purpose of monographic exchanges with foreign institutions. The listing of serials and periodicals is more often done for the purposes of offering the material to the USBE or selling it to dealers.

Library booksales appear to be quite popular as seventy-six percent of the libraries visited have them. Four libraries have ongoing sales operations and several of these have separate sales rooms with regular hours of operation. Annual proceeds from booksales range from $700 to $15,000 and are quite often channelled into book funds for buying new books, replacements, or duplicate copies of heavily used books.

Most libraries use form letters or form cards to handle the bulk of gift and exchange correspondence. Personal letter writing is usually limited to acknowledging significant gifts and resolving problems.

Claiming issues of serial/periodical titles which the library is supposed to receive as gifts or on exchange is most often done by the serials department. Only twenty-two percent of centrally organized gift and exchange units are involved in claiming and they spend less than ten hours per week on this activity.

Seventy-two percent of the libraries are recipients of material received from the Public Law 480 program. Since the recipient library does not pay for this material, it is surprising to learn that in most instances, the gifts and exchange unit (if one exists) is not responsible for its processing. At many libraries, the handling of PL 480 material is the responsibility of the bibliographers, the serials department, or the documents department.

Sources of gifts most often include faculty members, alumni, friends and patrons of the library, local residents, individual authors, various organizations such as banks, other universities, and governmental agencies.

Of the libraries visited, eighty-three percent have a Friends of the Library organization. Most of the libraries have endowed funds from which they spend the interest. These range from just a few funds per library to approximately a

hundred such funds. In terms of expendable income, the range of these funds is from several thousand dollars to well over a hundred thousand dollars.

Most libraries have several hundred exchange partners, and this can probably be considered about average. Smaller libraries have fewer exchanges than this, while several of the larger libraries have several thousand exchange partners. Most libraries indicate that at least seventy percent of their exchanges are with foreign partners, while several of those libraries having extensive exchange programs indicate as many as ninety percent of their exchanges are with foreign partners.

Publications used by libraries for exchange purposes generally include titles published by the university's press or by various university departments, and are usually available to the library without cost or at reduced rates. Discounts given to libraries for exchange publications by university presses seem to vary a great deal and range from ten to fifty percent.

Ten libraries (fifty-six percent) also have "bartered" exchanges, where the library pays the full cost for publications to be sent to exchange partners. The publisher or vendor usually ships the material directly to the exchange partner and sends the invoice to the library for payment. Some libraries have separate "exchange accounts" to use for

this purpose, and these range from a few thousand to as much as thirty-five thousand dollars.

Most libraries are not actively establishing new exchanges and therefore do not use the UNESCO Handbook on the International Exchange of Publications or the listings of potential gift and exchange sources published in the bimonthly UNESCO Bulletin for Libraries. Only five libraries (twenty-eight percent) make any use of the International Exchange Service of the Smithsonian Institution; thus, most exchanges are maintained directly with the exchange partners.

Even though most libraries are not actively requesting gift material and not actively establishing new exchanges, many of the major concerns of those directly involved in gift and exchange work center around a lack of staff and ever-growing backlogs. Unlike the acquisition of other material, which hinges on orders being placed, gift and exchange material continues to be received without active requesting.

Most libraries are members of the Universal Serials and Book Exchange (USBE) and feel that it is generally worthwhile. A few libraries feel they are sending more to the USBE than they are receiving and that there should be more reciprocity. Several west coast libraries are not members because shipping costs to USBE in Washington, D. C., make it impractical.

It is difficult to make any statistical comparisons between libraries because of the many inconsistencies in the way in which gift and exchange statistics are recorded. In some cases, statistics include ephemeral material or material which has been withdrawn from the cataloged collections. In other cases, figures given are for titles and at other times for volumes. Some libraries include material which is discarded as having been "processed," while others include only material which is retained and added to the cataloged collections.

While the personnel at some libraries thought that perhaps as much as twenty to twenty-five percent of both monographic and serial titles currently being added to their collections were acquired through gift and exchange sources, most libraries simply were not able to provide such information.

Various cost studies indicate that the value of gift and exchange material added to collections is greater than the cost of acquiring the material. Such studies are based on determining the total cost of acquiring such material (salaries, cost of exchange publications being sent, postage, etc.) and then comparing this against the value of the material added to the collections. Since many publications received on a gift or exchange basis do not have prices, their value is generally estimated based on the average of those which do have prices.

Unfortunately, there are no studies available that compare the cost of acquiring gift and exchange material to the cost of acquiring "ordered" material. A comparison of the procedures involved in each, however, seems to indicate that the acquisition cost per gift and exchange volume is less than for ordered material.

Ultimately, of course, the value of gift and exchange material to academic research collections must be determined subjectively. An attempt was made during the interviews for this study to gather opinions not only from those directly involved in gift and exchange work but also from other library staff, including acquisitions librarians, collection development librarians, technical services librarians, and subject bibliographers. While there were some negative opinions, most were of a positive nature. Most of the libraries visited appear to be enthusiastic about their gift and exchange programs and feel that important research materials are added to their collections as a result. Since most libraries are very selective about the gift and exchange material that they actually add, the quality of the material appears to be high.

X. Recommendations

(1) A history of the development of gift and exchange programs in U. S. academic libraries would be a useful addition to the literature on libraries, since presently such information remains buried in individual library histories and reports. Such a history would provide a basis for better understanding the role that gifts and exchanges has played in the development of academic library collections.

(2) It is recommended that libraries not having written policies regarding gifts and exchanges should develop such policies. While some of those interviewed for this study voiced negative opinions about having anything in writing, the consensus seems to be that a well-written policy provides guidance and direction for the handling of gift and exchange material. A written policy defines those functions which have to be performed in regard to the processing of gift and exchange material and thus determines the commitment that must be made to gifts and exchanges in terms of staff time. This, in turn, helps provide the basis for determining the organizational structure through which the handling of gift and exchange material

can most efficiently be accomplsihed. Written gift and exchange policies should, however, be flexible in regard to individual gifts and individual donors.

[Note: No recommendation is made concerning the organizational structure of gift and exchange processing. This, obviously, must be determined on an individual basis and hinges to a large extent on the size of the library, its collection interests, the quantity of gift material it receives, and the size of its exchange program.]

(3) It is strongly recommended that libraries develop criteria (which could be incorporated into a written gifts policy) for the types of material which are acceptable as gifts. Such criteria should be developed in line with the library's collection development policy. There is no reason why libraries should be used as dumping grounds and with established written criteria as a back-up, it becomes easier to tactfully turn away those gifts which have no usefulness to the library. This results, then, in less time devoted to the initial sorting and to the final selection process, producing a higher percentage of gifts which are retained. This, in turn, decreases the amount of material for which a means of disposal must be found. A substantial reduction in processing costs is therefore achieved.

(4) It would be useful if a number of libraries would develop a "common" gift and exchange statistics form for

the purpose of sharing statistical information. Such a program would provide a means to compare gift and exchange statistics on a consistent and realistic basis, and thus would aid participating libraries in measuring the effectiveness of their individual gift and exchange programs.

(5) It would be extremely helpful if a number of reliable cost-effective studies would be done at those libraries where such studies have not previously been conducted. Several comparative studies between the cost of acquiring gift and exchange material and the cost of acquiring ordered material would also be very useful. It would be of particular interest to have cost-effective studies for those libraries where gift and exchange functions are not centralized, but rather integrated into various work units.

(6) It is hoped that as libraries become increasingly involved in resource sharing that the role of gift and exchange programs in such cooperative efforts will be clearly defined. Various libraries in this study indicated a certain dependency on other (usually larger) libraries and/or on the Center for Research Libraries (CRL) for the types of research material which normally would be acquired through gift and exchange arrangements.

As resource sharing becomes a reality, there will be less need for all libraries to maintain extensive gift and exchange programs. However, it should be determined in advance which libraries will be responsible for acquiring and making accessible those research materials which are available only through gift and exchange channels.

(7) Finally, it is suggested that individual libraries look closely at their gift and exchange programs in terms of efficiency of operation. The results of this study indicate that streamlining gift and exchange procedures and processes is in order for some libraries. Questionable activities include giftplating all gift books, providing lists of books in gift collections to donors, returning gift books to donors which are duplicates, listing duplicates and unwanted material, and the automatic checking of such lists received from other libraries and institutions. These are all high cost/low yield activities and their elimination would result in a more effective means of handling gifts and exchanges.

Appendix

List of Libraries Visited and People Interviewed

(collection size given in parentheses)

University of Arizona Libraries, Tucson (964,427 vols.)
Elaine Livermore, Head, Acquisitions Department
James Myers, Assistant Director for Technical Services

University of Rochester Libraries, Rochester, New York (985,848 vols.)
Alveira Zelter, Acquisitions Clerk for Serials
Hadley Noble, Head, Serials Department
Claude Noyes, Collection Development Librarian
Judith N. Kharbas, Head, Technical Processing

University of Connecticut Library, Storrs (1,058,000 titles)
William Peters, Acquisitions Librarian
Mary Balmer, Head of Technical Processing

University of Tennessee Library, Knoxville (1,229,423 vols.)
Olive H. Branch, Collection Development Librarian
Mary Jane Sharp, Head, Serials Order Department
John Dobson, Special Collections Librarian

University of Colorado Libraries, Boulder (1,314,857 titles)
Harriet Rebuldela, Acquisitions Librarian

University of Massachusetts Library, Amherst (1,453,000 vols.)
Jeanne Kocsis, Social Sciences Bibliographer
Siegfried Feller, Chief Bibliographer

Washington University Libraries, St. Louis, Missouri (1,545,423 vols.)
Shirley Jones, Chief, Acquisitions and Serials Department

Case Western Reserve University Libraries, Cleveland, Ohio (1,558,670 vols.)
Karen Esper, Collection Development Librarian for Humanities
Coletta McNamara, Acquisitions Librarian

State University of New York at Buffalo Libraries, Buffalo, New York (1,629,078 vols).
Charles Willett, Acquisitions Librarian

University of Southern California Library, Los Angeles (1,670,984 vols.)
Leona L. Wise, Gifts and Exchange Librarian
Linda Crismond, Assistant Director for Technical Services

University of Pittsburgh Libraries, Pittsburgh, Pennsylvania (1,824,472 vols.)
Ann Lingenfelter, Library Associate, Gifts and Exchange
Florence M. McKenna, Coordinator, Processing Department

University of North Carolina, Chapel Hill (2,125,640 vols.)
William Z. Schenck, Head, Acquisitions Department
Murlin Croucher, Slavic Bibliographer
Brenda Kalt, Latin American Bibliographer
Patrick Wreath, Head, Bibliographical Services
Paul Sherer, Gifts and Exchange Librarian

University of Pennsylvania Library, Philadelphia (2,700,000 vols.)
Jean Green, Gifts and Exchange Librarian
James R. Coffey, Head of Acquisitions
Bernard Ford, Associate Librarian for Technical Services
Dennis Hyde, Assistant Librarian for Collection Department

University of California Library, Los Angeles (3,519,424 vols.)
Giselle von Grunebaum, Gifts Librarian
Ana Duarte, Exchange Librarian
Norman Dudley, Assistant University Librarian for Collection Development
Roberta Nixon, Head, Library Task Force

Cornell University Libraries, Ithaca, New York (4,272,959 vols.)
Sharron Snyder, Gifts and Exchange Librarian
Mary Lee Xancó, Acquisitions Librarian
Ryburn Ross, Head, Technical Services

University of California Library, Berkeley (4,649,533 vols.)
Marion Murdoch, Head, Acquisitions Department
Lee Petrasek, Africana Selection Officer
Ann Marie Mitchell, Gifts and Exchange Librarian
Sheila Dowd, Assistant University Librarian for Collection Department

Columbia University Libraries, New York (4,661,913 vols.)
Alfred H. Lane, Gifts and Exchange Librarian
Erle P. Kemp, Director, Resources Group
James E. Fall, Director, Technical Support Group

Yale University Library, New Haven, Connecticut (6,518,848 vols.)
Steve Johnson, Senior Acquisitions Librarian
Regina McPartland, Head, Acquisitions Department
Åke Koel, Associate Librarian for Technical Services

Note: Source for collection size is the American Library Directory. (New York: Bowker, 1976-77).

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